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ACTIVITIES IMPLEMENTED JOINTLY UNDER THE PILOT PHASE

Uniform reporting format

Note by the secretariat

I. INTRODUCTION

A. Mandate

1. The Conference of the Parties, at its first session (COP 1), by its decision 5/CP.1[1], decided to established a pilot phase for activities implemented jointly (AIJ). The criteria for such activities and the principles governing the pilot phase were defined in the same decision.

2. At their second sessions, the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) adopted an initial reporting framework on AIJ during the pilot phase. The SBSTA decided to compile and synthesize, in cooperation with the SBI, and with the assistance of the secretariat, information transmitted by the Parties in the form of a report to be considered annually by the Conference of the Parties (COP), and, based on this information, to develop suggestions for improving the initial reporting framework and for addressing methodological issues, as necessary (FCCC/SBSTA/1996/8, paras. 73 and 76).

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[1]For decisions adopted by the Conference of the Parties at its first session, see document FCCC/CP/1995/7/Add.1.

3. At the third session of the SBSTA, Parties considered the progress report prepared by the secretariat (FCCC/CP/1996/14 and Add.1) and requested the secretariat "to make suggestions with regard to a uniform reporting format to promote the consistency of reports with the initial reporting framework" (FCCC/SBSTA/1996/13, para. 38 (a)).

B. Structure of this note

4. Issues related to the initial uniform reporting format and the process and form of submission of reports are contained in the main part of this document. Annexes I and II contain suggestions for an initial uniform reporting format for activities implemented jointly and for national programmes respectively.

C. Proposed action

5. Parties are invited to adopt an initial uniform reporting format for activities implemented jointly. The formats contained in the annexes to this note are presented as a basis for discussion. The initial uniform reporting format will possibly develop over time depending on the results generated by methodological work and experience gained.

II. THE INITIAL UNIFORM REPORTING FORMAT

6. The secretariat received views from seven Parties in time to be considered in this note. Those Parties are: Australia, Canada, Costa Rica, Germany, Mexico, United Kingdom of Great Britain and Northern Ireland, United States of America.

A. Activities implemented jointly

7. Most Parties felt that the uniform reporting format for activities implemented jointly under the pilot phase should be subject to change depending on the results of the methodological work and experience gained. Parties also felt that the uniform reporting format should follow closely the initial reporting framework adopted at the second session of the SBSTA and the SBI and contained in the report of the SBSTA on the work of its second session (FCCC/SBSTA/1996/8). The main structure of the proposed uniform reporting format contained in Annex I is therefore structured according to the initial reporting framework and tries to harmonize the presentation of information in each section of the initial reporting framework based on suggestions by Parties.

8. Consistent with suggestions by Parties the proposed uniform reporting format is accompanied by remarks and suggestions, mainly in the form of footnotes (which in some cases indicate methodological work to improve and refine the uniform format in the future and standard answer checklists).

9. Parties also suggested that data be converted to agreed measurement units in order to facilitate comparison. The AIJ round table to be organized by the secretariat on request by the

SBSTA in conjunction with the fourth session of the SBSTA in December 1996 (FCCC/SBSTA/1996/13, para. 38 (b)) should provide for the exchange of information and experience on ongoing AIJ projects and programmes. These issues could be taken up in this round table as well as in technical workshops on methodological issues.

10. One Party raised the issue of information related to projects under development. It was suggested that those projects be reported in a separate section and grouped regionally. The secretariat has not incorporated this suggestion in its proposal. It is believed that the exchange of information on projects under development could take place in the framework of the round table. This information could be included in the concise update (FCCC/SBSTA/1996/12, para. 38 (d)), regularly prepared by the secretariat, providing for a separate section on projects under development.

11. The issue of the exchange of information on intentions to host or to finance project(s) or a certain type of project(s) was also raised. Such information, when submitted officially, could also be included in the concise update. However, other more immediate ways could be envisaged: for example, provision is made within the CC:INFO/WEB initiative.

12. It is recalled that the SBSTA, at its second session, invited Parties to identify the relevant government authority or ministry authorized to accept, approve or endorse activities implemented jointly and to report them to the Conference of the Parties through the secretariat (FCCC/SBSTA/1996/8, para. 74). This an important aspect with regard to information flow as only information provided to the relevant Convention body by those designated national authorities may be considered. (For the most recent list of such authorities see the update on activities implemented jointly contained in document FCCC/SBSTA/1996/17 or the UNFCCC-Website, URL: http://www.unfccc.de, under CC:INFO products. The latter is updated each time a new authority is identified.)

B. National programmes

13. The reporting format proposed for national programmes is a combination of tables and free text consistent with comments made by Parties which were concerned that the exclusive use of tables would exclude the reporting of more complex features of programmes.

III. PROCESS AND FORM OF SUBMISSION

14. It is suggested that on adoption of the initial uniform reporting format, all activities reported on to date should be resubmitted using the new format in order ensure transparency and comparability of reports. It will as well facilitate the preparation of the synthesis report by the relevant bodies. Any subsequent reporting for each activity will contain only the exact title of the activity and new or updated information (new telephone number for an organization, new set of estimates for the possible greenhouse gas (GHG) emissions avoided, etc.). The activities taken into consideration will be only those for which reports from each

and every designated national authority for activities implemented jointly of the participating Parties have been received, as follows:

(a) In the case of joint reporting: the report is submitted by the designated authority of one participating Party with the concurrence of all other participating Parties as evidenced by attached letters issued by the relevant national authorities;

(b) In the case of separate reporting: the reports are submitted separately by the designated national authority of each and every participating Party. Information will only be compiled once reports have been submitted by all participating Parties.

15. To facilitate the work of the body responsible for preparing the reports as well as of the secretariat in synthesizing and disseminating the information, it is suggested that the secretariat prepare the adopted initial uniform reporting format as an electronic template for some major word-processor softwares. These could then be made available on diskette or other appropriate means to national authorities which wish to use the files when preparing their reports for each activity and/or for their national programme.

Annex I

PROPOSED UNIFORM REPORTING FORMAT: ACTIVITIES IMPLEMENTED JOINTLY

A) Description of project

1) Title of project:

2) Participants/actors:

Please fill in one table for each participant/actor. For individuals fill in as from item "Function within activity".

Item	Please fill in if applicable
Name of organization[a] (English):	
Name of organization (local):	
Department:	
Acronym (English):	
Acronym (local):	
Function within activity:	(standard classifiers to be developed)
Street:	
Post code:	
City:	
Country:	
Telephone:	
Fax:	
E-mail:	
WWW-URL:	
Contact person (for this activity):	----------
Surname:	
First name, middle name:	
Job title:	
Direct tel:	
Direct fax:	
Direct E-mail:	

[a]Organization includes: institutions, ministries, companies, non-governmental organizations, etc. involved in the activity, i.e. research institutes associated with the project, auditors, government agency closely following the activity.

3) Activity:

Item	Please fill in if applicable
General description:	
Type of project[a]:	
Location (exact e.g.: city, region, state):	
Activity starting date:	
Activity ending date:	
Lifetime of activity if different from ending date[b]:	
Technical data[c]:	

[a] For example, using Intergovernmental Panel on Climate Change (IPCC) classification: energy efficiency; renewable energy; fuel switching; forest preservation, restoration or reforestation; afforestation; fugitive gas capture; industrial processes; solvents; agriculture; waste disposal or bunker fuels.

[b] Methodological work will be required to define lifetime of activities.

[c] Methodological work will be required to determine for each type of activity what the minimum data requirements are.

4) Cost:

Item	Year 1	Year 2	...	Year X
Cost of the project in US$:				
AIJ component in US$:				
Evaluation in monetary terms of indirect effects to the extent possible:				
US$ per avoided ton of CO_2 equivalent:				

Describe briefly how costs are determined:

5) Mutually agreed assessment procedures:

Describe the procedures including name of organizations involved[a]:

[a] Please ensure that detailed contact information for all organizations mentioned is reported under section A.2 above.

B) Governmental acceptance, approval or endorsement

As reports may only be submitted by designated national authorities or with proof of their endorsement of joint reports, activities reported may be considered as having received governmental acceptance, approval or endorsement.

1) For the activity:

* First report and joint reporting: please add copies of letters of endorsement by each designated national authority of Parties involved in the activity.

* Subsequent reports:

Activity was: ☐ suspended
☐ terminated earlier

Describe:

2) This report is a joint report:

☐ Yes, forward copy of agreement/endorsement by the designated national authorities involved
☐ No

3) General short comment by the government(s) if applicable:

C) Compatibility with and supportiveness of national economic development and socio-economic and environment priorities and strategies

Describe how the activity is compatible with and supportive of national economic development and socio-economic and environment priorities and strategies (include reference to national plans, laws etc.)

D) Benefits derived from the activities implemented jointly project

Whenever possible quantitative information should be provided. Failing that, a qualitative description should be given. If quantitative information becomes available, it could be submitted using the update(s) (If the amount of quantative information is too large, the source could be indicated.)

Item	Please fill in
Describe environmental benefits in detail:	
Do quantitative data exist for evaluation of environmental benefits:	Yes/no
Describe social benefits in detail:	
Do quantitative data exist for evaluation of social benefits:	Yes/no
Describe economic benefits in detail:	
Do quantitative data exist for evaluation of economic benefits:	Yes/no

E) Calculation of the contribution of activities implemented jointly projects that bring about real, measurable and long-term environmental benefits related to the mitigation of climate change that would not have occurred in the absence of such activities

1) Estimated emissions without the activity (baseline):
Description of the baseline or reference scenario, including methodologies applied:

2) Estimated emissions with the activity:
Description of the scenario, including methodologies applied:

Fill in the following tables as applicable:
Summary table: *Projected emission reductions:*

	GHG	Year 1	Year 2	...	YearX
A) Baseline scenario	CO_2				
	CH_4				
	N_20				
	other				
B) Activity scenario	CO_2				
	CH_4				
	N_20				
	other				
C) Effect (B-A)	CO_2				
	CH_4				
	N_20				
	Other				
D) Cumulative effect[a)]	CO2				
	CH_4				
	N_20				
	Other				

[a)] Methodological work could be envisaged on discount rates.

Summary table: *Actual emission reductions:*

	GHG	Year 1	Year 2	...	YearX
A) Baseline scenario	CO_2				
	CH_4				
	N_20				
	other				
B) activity scenario	CO_2				
	CH_4				
	N_20				
	other				
C) Effect (B-A)	CO_2				
	CH_4				
	N_20				
	Other				
D) Cumulative effect[a)]	CO_2				
	CH_4				
	N_20				
	Other				

[a)] Methodological work could be envisaged on discount rates.

F) Additionality to financial obligations of Parties included in Annex II to the Convention within the framework of the financial mechanism as well as to current official development assistance flows

Category of funding[1] (For each source one line)	**Amount** (US dollars)

[1] List of possible sources: individual/private company/ multinational private company/investment fund/ Global Environment Facility*/World Bank*/ International Finance Corporation*/African Development Bank*/Asian Development Bank*/ European Bank for Reconstruction and Development*/ Inter-American Development Bank*/ United Nations Development Programme*/ Other*

* Please describe:

G) Contribution to capacity building, transfer of environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention. In this process, the developed country Parties shall support the development and enhancement of endogenous capacities and technologies of developing country Parties

Transfer of environmentally sound technologies and know-how	**Describe briefly**

Endogenous capacity supported or enhanced:

Endogenous capacity Name of organization[1]	**Development (DEV) /enhancement (ENH**	**Describe briefly**
	(DEV or ENH)	

[1] Please ensure that detailed contact information for all organizations listed is reported under section A.2 above.

H) Additional comments, if any, including any practical experience gained or technical difficulties, effects, impacts or other obstacles encountered

Fill in as appropriate:

1) Any practical experience gained:

2) Technical difficulties:

3) Effects encountered:

4) Impacts encountered:

5) Other obstacles encountered:

6) Other:

Annex II

PROPOSED UNIFORM REPORTING FORMAT: NATIONAL PROGRAMME

1) Designated national authority for activities implemented jointly

A) Please fill in if not already communicated or if changes have occurred.

Item	Please fill in if applicable
Name of the national authority (English):	
Name of the national authority (local):	
Department:	
Acronym (English):	
Acronym (local):	
Function within activity:	(standard classifiers to be developed)
Street:	
Post code:	
City:	
Country:	
Telephone:	
Fax:	
E-mail:	
WWW-URL:	
Contact person (for this activity):	----------
Surname:	
First name, middle name:	
Job title:	
Direct tel:	
Direct fax:	
Direct E-mail:	

B) Describe the structure of the programme:

2) Process for obtaining approval

A) Brief description of procedure:

B) Description criteria for acceptance of an AIJ:

a) Decision 5/CP.1:

Criteria applied nationally

b) Other criteria:

Criteria applied nationally

3) Description of programme features:

Description:

4) *Summary of activities:*

Type of project[a)]	Title of activity	GHGs			
		CO_2	CH_4	N_2O	Other
		☐	☐	☐	☐
		☐	☐	☐	☐

[a)] For example using IPCC classification: energy efficiency; renewable energy; fuel switching; forest preservation, restoration or reforestation; afforestation; fugitive gas capture; industrial processes; solvents; agriculture; waste disposal or bunker fuels.

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METHODOLOGICAL ISSUES: LONGER-TERM PROGRAMME OF WORK

Note by the secretariat

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I. INTRODUCTION

A. Mandate

1. The Convention recognizes the importance of methodologies in several places, namely, in Articles 4.1(a), 4.1(f), 4.2(c), 7.2(d), 9.2(e) and 12.1(a). Moreover, the experience with preparing and reviewing national communications underlines the importance of adequate and comparable methodologies (FCCC/CP/1996/12 and Add.1 and 2).

2. At its first session, the Conference of the Parties (COP 1), by its decision 4/CP.1, decided "that the Subsidiary Body for Scientific and Technological Advice, drawing upon existing competent international bodies, including the Intergovernmental Panel on Climate Change, ... should ... consider the methodological issues arising from the review of national communications, including those identified in the compilation and synthesis of national communications and in available in-depth review reports, and make recommendations thereon to the Conference of the Parties at its second session" and "propose a work plan and timetable for longer-term activities relating to methodological questions (including inventory methodologies and methodologies for analysing impacts and mitigation options) and the establishment of working relationships with other bodies (in particular, the Intergovernmental Panel on Climate Change and its working groups and programmes)" (FCCC/CP/1995/7/Add.1).

3. At its third session, the Subsidiary Body for Scientific and Technological Advice (SBSTA) took note of a summary report by the secretariat of a meeting on methodologies (as discussed below), held with relevant international organizations. It requested the secretariat to prepare a report on the matter for the fourth session (FCCC/SBSTA/1996/13).

4. Furthermore, in anticipation of the budget for the 1998-1999 biennium being debated by the Conference of the Parties at its third session, the secretariat has to prepare a budget proposal in early 1997. In order to prepare this, the secretariat needs guidance on the activities it should undertake to support the needs of the Convention bodies for work on methodologies.

B. Scope of the note

5. This note has been prepared in response to the above requests. The purpose of the note is to provide the SBSTA with an overview of current methodological programmes, to identify important gaps and to define options for consideration that would ensure that methods are available in the future.

6. The note is based on information provided by a number of United Nations bodies and specialized agencies as well as other intergovernmental organizations on current and future programmes to develop and disseminate methodologies relevant to the Convention. It is also based on the secretariat's experience in the review process for national communications and

the preparation of compilation and synthesis reports on national communications (FCCC/CP/1996/12 and Add.1 and 2) and in assisting other organizations to provide their support for national studies. The activities of national governments have not been specifically addressed in this document.

7. In order to prepare this note, the Executive Secretary convened a meeting of representatives from competent international organizations, including the Intergovernmental Panel on Climate Change (IPCC) (see attendance list in the annex below). The meeting was held in Geneva from 4 to 5 July 1996. The representatives provided the secretariat with information on their current and planned activities as described in document FCCC/SBSTA/1996/16/Add.1. A preliminary draft of the present note was subsequently circulated to the representatives who attended the meeting to determine the accuracy of the information reported therein. During this preliminary review process, the IPCC secretariat provided a special note indicating that it felt that it should not comment on section C of the present document.

8. The secretariat has focused on practical tools and products, including models, that can assist Parties in meeting their commitments, such as preparing national communications, assessing impacts, evaluating technologies and assessing policies and measures. Activities that contribute to the general improvement and development of methodologies, although not to specific products, are identified in some cases, but given less emphasis. This document does not address training activities. Yet, the secretariat is aware that these activities could be looked upon as an inherent step in the process of developing methods and can provide important information for the process of revising methods. Training is a component of some bilateral support programmes and multilateral enabling activities.

9. Also at its third session, the SBSTA considered the issue of communications from Parties included in Annex I to the Convention, including methodological issues identified in documents FCCC/SBSTA/1996/9/Add.1 and 2. The issues referred to in these documents, namely, electricity trades, international emissions associated with bunker fuels, the use of global warming potentials, land-use change and forestry, and temperature adjustments, are primarily concerned with methods needed in the near term for calculating, allocating and reporting emission inventory information. The SBSTA invited Parties to submit comments on these issues for consideration at the fourth session of the SBSTA (see FCCC/SBSTA/1996/MISC.5). They are not treated in this document but will be considered separately under this agenda item.

C. Possible actions by the SBSTA

10. The SBSTA may wish to consider the issues in section IV below and, on that basis:

(a) Give a preliminary indication of the areas of methodological work that should be given the highest priority in the context of the needs of the Convention, taking account of the suggestions in paragraph 23 below;

(b) Invite the Joint Working Group of officers of the IPCC and the Convention (JWG) to advise on an appropriate division of methodological tasks between the IPCC and the Convention bodies, particularly on methods for emission inventories, assessing impacts of climate change and assessing mitigation and adaptation options, taking account of the need for sustainable financing of these tasks and of work under way by other international organizations (see document FCCC/SBSTA/1996/16/Add.1);

(c) Review, at its fifth session, the advice of the JWG and on that basis decide what should be done by the Convention bodies and, as appropriate, express its views to the IPCC;

(d) Review, at its fifth session, the methodological component of the secretariat's outline of the Convention budget for the biennium 1998-1999, in the light of, *inter alia*, the advice of the JWG, and advise the SBI thereon;

(e) Invite the SBI to consider whether future policy guidance from the COP to the Global Environment Facility (GEF) could highlight the importance of securing adequate financial support from the GEF for the priority methodological work needed by the Convention, ensuring that such work corresponds to the programme priorities established by the COP and the resultant operational programmes of the GEF and that it is done in a cost-effective and non-duplicative manner;

(f) Keep under review, at one session each year, the progress of work on methodological questions and its financing and, in support of this review, request its Vice-Chairman to convene informal open-ended consultations on these questions, in conjunction with its sessions.

II. BACKGROUND

11. The secretariat has identified a preliminary list of methodologies, with relevance to the Convention, as listed in paragraph 13 below. For the purpose of this paper, a methodology is defined as a method, procedure, model, or similar tool needed by the Parties to support the implementation of their commitments under the Convention. Methods needed for scientific purposes, such as for the systematic observation of the atmosphere or the oceans, while clearly relevant to the Convention, have not been included.[1]

12. The activities undertaken by international organizations to produce methods include:

- Development of methodologies
- Preparation of documentation

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[1] For example, the World Meteorological Organization Technical Commission for Climatology is examining data and methods to detect global climate change.

- Testing at the national level
- Revision
- Peer review
- Dissemination
- Training [2]

13. The following is a list of areas relevant to implementation of the Convention where methodologies need to be developed or revised over time.

Examples of national/regional level methodologies

Inventorying greenhouse gas (GHG) emissions - methods to estimate GHG emissions from sources or sequestration by sinks

Projecting national GHG emissions - methods to estimate future GHG emissions or removals by sinks, for example, extrapolation, expert judgement, linear programmes and macroeconomic models

Evaluating national technology needs and financial requirements - procedures for determining the types of technologies needed by a country to achieve its national climate change goals, including the related financial requirements, in the context of its economic and social objectives

Assessing technology transfer activities - procedures for identifying and evaluating the impacts and effectiveness of technologies that have been transferred from one Party to another

Assessing mitigation and adaptation technologies - methods for evaluating different technologies by determining, for example, performance, costs, and environmental impacts over time [3]

Assessing mitigation measures and policies - methods for estimating the potential emission reductions, costs and other operational requirements of a single measure or combination of measures and policies over some period of time

Evaluating the effectiveness of policies and measures to limit emissions or enhance removals of GHG or to adapt to climate change - methods to determine whether or to what extent a measure or policy achieved its intended objective

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[2] Identified for completeness, but not treated in this document.

[3] Parties may wish to refer to document FCC/SBSTA/1996/4 for a definition of technology.

Evaluating activities implemented jointly and developing methodologies relevant for joint implementation - procedures for determining the effectiveness of AIJ programmes and projects identified by Parties and further development of the concept of joint implementation

Assessing the impacts of climate change - methods for projecting the impacts of climate change on a geographical region, economic sector, human health, food production, or ecological system [4]

Evaluating adaptation options - methods for comparing different technologies and practices to adapt to climate change by determining, for example, costs and impacts over time

Examples of global level methodologies

Projecting global GHG emissions - methods to estimate future global GHG emissions or removals by sinks

Assessing the aggregate effects of policies and measures - methods for estimating combined effects of different measures (economic instruments, voluntary agreements, and regulation) initiated by all Parties on global emissions

Financial investment flows - procedures for estimating current and future investment flows likely to affect GHG emissions and removals by sinks

III. METHODOLOGICAL WORK BY INTERNATIONAL ORGANIZATIONS

What is being done or planned by international organizations

14. A review indicates that two topics have received or are receiving particular attention by the IPCC, namely, methods to inventory GHG emissions and methods to assess the impacts of climate change. In addition, the IPCC has developed methods to assess mitigation measures and policies (options).

15. The IPCC, with the cooperation of the Organisation for Economic Co-operation and Development (OECD) and the International Energy Agency (IEA), has led efforts to develop and improve national GHG inventory methods. Recently, the IPCC at its twelfth plenary session, held from 11 to 13 September 1996 in Mexico City, approved *Revised 1996 Guidelines for National Greenhouse Gas Inventories* (FCCC/SBSTA/1996/18/Add.1). Plans for additional work on this topic are identified in the report of the twelfth plenary of the

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[4] It should be noted that many methods to assess the impacts of climate change are the same as methods to assess the impacts of climate and its normal variability on natural ecosystems and socio-economic activities.

IPCC and are summarized in FCCC/SBSTA/1996/18. The IPCC's GHG inventory programme, which aims at publishing the *Revised 1996 Guidelines for National Greenhouse Gas Inventories* and assessing a number of special topics, will cost approximately SwF1 million in 1997 and will be paid for from the IPCC budget.

16. The United Nations Environment Programme (UNEP), in collaboration with the University of Amsterdam, is identifying methods to assess impacts of climate change for the following sectors: water resources, coastal zones, agriculture, human health, energy and industry, human settlements, forests, wildlife and biodiversity and fisheries. A draft handbook has been developed and is undergoing testing in eight developing countries. The handbook does not contain "software", but identifies where Parties may obtain software for their use. After revisions, UNEP will submit an advanced version of the handbook for peer review and approval by the IPCC in late 1997. UNEP is also working on methodologies to assess mitigation measures and policies in collaboration with the Centre on Energy and the Environment (Riso). The objective is to develop a methodological framework for climate change mitigation analysis. The completion date for the project is April 1998. The above-mentioned projects are being primarily funded by the GEF and national governments.

17. The United Nations Industrial Development Organization (UNIDO) is developing a methodology for assessing options in the industrial sector. The development of the methodology will be completed in December 1996 and field testing, dissemination and training will be undertaken in 1997.

18. Other international organizations are developing methods and data of a general nature that might have potential applicability in the long term. In some cases, they support basic work to develop databases that Parties might have access to. In other cases, they conduct workshops to assess methodological issues. The relevance of these activities and the applicability of the products that emerge vary widely.

19. Financial support for the development, distribution and training associated with methods is precarious at best. Most organizations' resources for the development of methods to support the Convention are declining. However, the current COP 1 guidance to GEF and the GEF guidelines limit the prospects for resources to support further work on methodologies. With regard to the GEF mandate, it should be noted that the development of methodologies is different from the conduct of research. Both of these topics are under consideration by the STAP.

IV. ISSUES FOR CONSIDERATION BY THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

20. The SBSTA may wish to give consideration to the following substantive, institutional and financial issues.

Topics to be given priority

21. The SBSTA will need to determine firstly which methods listed in this paper warrant attention at the international level and secondly which topics should be given priority. Bearing in mind the limited financial and personnel resources available for additional activities, the following criteria for determining priorities of future work appear to be relevant (in random order):

- Would the method contribute to understanding the magnitude of the global problem?
- Would the method enable Parties to understand the damages and benefits of climate change?
- Is the method necessary for the preparation of national communications by Parties included in Annex I to the Convention (Annex I Parties) and/or Parties not included in Annex I to the Convention (non-Annex I Parties)?
- Would the method support the review of communications, build confidence among Parties and encourage transparency and consistency in reporting?
- Would the method improve decision making and lower programme implementation costs?
- Would the method enable Parties to attract investment capital for technology to limit GHGs or adapt to climate change?
- Is the method technically feasible? Could it be produced at a reasonable cost and on time?

22. In addition, the following factors may need to be weighed:

(a) Whether greater use could be made of methods developed for use at the national level. Often these could gain acceptance by the international community, if they are modified to account for varying circumstances, but such revisions require additional funding;

(b) Whether the Convention process needs to be involved in the development, dissemination and training of all methods. For example, there are currently several technical teams that are supported by national governments, developing methods to project global

emissions. While the products of such activities need synthesis and peer review, it may not be necessary for a single "standard" method [5] to be agreed upon and distributed to all Parties;

(c) Whether the needs of Annex I and non-Annex I Parties for methodologies are significantly different and, if so, how these needs should be reflected in priorities that the Parties may wish to consider.

Methodological topics that may warrant special consideration

23. Recognizing the programme of work of the IPCC and other organizations, particularly in the areas of inventories, impacts and mitigation methods, and considering the experience from the review process, the secretariat suggests that the following topics are among those that warrant additional special considerations at the international level:

- **Methods for assessing mitigation measures and policies** - Often Parties have not identified in their national communications the projected effects of measures on national GHG emissions. In other cases, the possible interactive effects of measures are not clearly presented. Methods are needed in order to determine whether policies will be cost-effective and to provide information to other Parties in a transparent manner.

- **Methods for projecting emissions** - In many cases Parties have not included projections of emissions for all important sources of GHGs in their national communications; for example, projections of emissions and removals of GHGs were often omitted for the land-use change and forestry sector.

- **Methods for evaluating and monitoring the effectiveness of specific policies and measures to limit or enhance removals of GHGs** - While many measures are just in the process of being implemented, it should be possible in the near future to evaluate how effective certain measures have been in reducing emissions. In other words, have they performed as anticipated? This would enable Parties to track the performance of measures and to learn from the success or failure of other Parties.

- **Methods to assess mitigation technologies** - The secretariat has identified several types of software that might be used by Parties, particularly developing country Parties, to evaluate technologies (FCCC/SBSTA/1996/4/Add.2). The availability of such software does not suggest that it can be readily used by analysts in many developing countries. Further work may be required to test, revise and/or train personnel in developing countries. Also note project 16 in document FCCC/SBSTA/1996/16/Add.1.

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[5] Each such method should be transparent enough to be understood by a third party.

- **Methods to evaluate activities implemented jointly and to develop the concept of joint implementation** - The secretariat has suggested a list of methodological issues that require additional work, for example, methods to develop uniform baselines and to calculate emission reductions (FCCC/CP/1996/14, para. 27). It will conduct an experts meeting to identify a list of methodological issues (FCCC/SBSTA/1996/19)

In addition, the secretariat suggests that there is a need to analyse how methods have been applied by the Parties in national communications. For example, there has been no assessment of how the Parties have used the *Guidelines for National Greenhouse Gas Inventories* (1995) or optional methods. This type of analysis would be useful prior to revising existing methods. It would help to determine the comparability of national inventories.

Relationships between the Convention bodies and other international organizations, for example, UNEP, WHO, UNIDO, and OECD?

24. Such working arrangements could take many forms. First, the SBSTA may wish to determine whether it wants to simply monitor activities, to promote their coordination, and/or, after consultations, to assign 'lead' responsibilities for specific activities to particular international organizations. With regard to monitoring, the secretariat could be requested to track and assess the work of other organizations and report to the SBSTA. If the SBSTA wishes to promote greater coordination, mechanisms could be developed individually or collectively with international organizations, along the lines of the Joint Working Group with the IPCC. Should the SBSTA prefer to request that a single international organization be responsible for the development and coordination of a particular method, specific arrangements may be needed.

25. In the near term, the SBSTA may wish to encourage UNEP to work in cooperation with the IPCC to expeditiously test, revise and peer review the handbook on methods to assess impacts of climate change and the OECD and IEA to continue their support to the IPCC for methods development activities. Also, given the relationship of these activities to national communications, these activities could benefit from the feedback which occurs during the review process. The secretariat could be asked to strengthen coordination with these and other international organizations so as to enhance the relevance of their work to the Convention.

Role of the IPCC in support of the Convention

26. The IPCC, in collaboration with other international organizations, has played a unique role in supporting the Convention, particularly the development of guidelines on national GHG inventories, impact assessments of climate change and methods to assess mitigation options. It has published documents and collaborated in training in some cases and has an expert and governmental review process that helps to ensure suitability of particular options [6] On the other hand, many methodological issues are closely tied to policy considerations which need to be addressed directly by the Convention bodies. In some cases the emphasis is now shifting from developing methods to improving them based on the experience in applying them in national communications. The SBSTA may wish to consider which methods the IPCC should focus on and whether the IPCC should be encouraged to play a more expansive role in the coordination and development of methods.

Activities of the SBSTA

27. Heretofore, the SBSTA has not determined which methodologies should be considered and what role it wishes to play. Given the importance of methodologies to the work of the Convention, the need to set priorities and the need to address complex institutional issues, it may wish to define its role in this respect and consider appropriate organizational arrangements.

Financing methodological activities

28. The development, testing and diffusion of methods will be likely to require additional financial support, although the needs will depend on the extensiveness of the effort. Several options may be considered, such as: (a) encouraging governments to provide greater support to national, regional and international institutions; (b) requesting the governing bodies of international organizations to give a high priority to work in support of the UNFCCC process; (c) revising the guidance to the GEF so as to encourage support for specific methodological issues; and (d) providing for additions to the secretariat budget and/or contributions to the supplementary fund for the period 1998-1999.

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[6] Other international organizations also have at a minimum scientific review processes. Generally, these are focused on ensuring that the needs of the parent organization are met.

Annex

ATTENDANCE

The meeting on methodologies hosted by the secretariat on 4 to 5 July 1996 (see paragraph 7 above) was attended by representatives of the following organizations:

United Nations Environment Programme (UNEP)
United Nations Development Programme (UNDP)
United Nations Industrial Development Organization (UNIDO)
Food and Agriculture Organization of the United Nations (FAO)
Intergovernmental Oceanographic Commission (UNESCO/IOC)
World Health Organization (WHO)
World Meteorological Organization (WMO)
Scientific and Technical Advisory Panel (STAP) of the Global Environment Facility (GEF)
Intergovernmental Panel on Climate Change (IPCC)
International Energy Agency (IEA)
Organisation for Economic Co-operation and Development (OECD)

The following organizations were unable to attend the meeting:

United Nations Conference on Trade and Development (UNCTAD)
Economic Commission for Europe (ECE)
Economic and Social Commission for Asia and the Pacific (ESCAP)
World Bank
International Atomic Energy Agency (IAEA)
International Council of Scientific Unions (ICSU)

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ACTIVITIES IMPLEMENTED JOINTLY UNDER THE PILOT PHASE

Update

Note by the secretariat

I. MANDATE

1. At its third session, the Subsidiary Body for Scientific and Technological Advice (SBSTA), noting that reports on activities implemented jointly (AIJ) may be submitted at any time, invited the secretariat to prepare in concise form a first update reflecting reports and submissions by Parties for the fourth session of the SBSTA in December 1996 (FCCC/SBSTA/1996/13, para. 38 (d)).

II. NATIONAL AUTHORITIES

2. A prerequisite for the smooth functioning of information exchange during the pilot phase for activities implemented jointly is the designation, by all Parties involved in AIJ, of the relevant governmental authority or ministry authorized to accept, approve or endorse activities implemented jointly and to report on them to the Conference of the Parties through the secretariat (FCCC/SBSTA/1996/8, para. 74). In addition these designated national authorities also facilitate communication among Parties as well as between Parties and potential private sector investors. It is suggested that Parties verify whether the information contained in annex I to this document is still up to date.

3. It is recalled that, with regard to reporting, an activity implemented jointly may only be considered by the relevant Convention bodies if it has been approved, accepted or endorsed by all the respective designated national authorities, as follows (FCCC/SBSTA/1996/8, annex IV, paras. 3 and 4):

(a) In the case of joint reporting: the report is submitted by the designated authority of one participating Party with the concurrence of all other participating Parties as evidenced by attached letters issued by the relevant designated national authorities;

(b) In the case of separate reporting: the reports are submitted separately by the designated national authority of each and every participating Party. Information will only be compiled once reports have been submitted by all participating Parties.

4. The secretariat received a report by one Party updating previous information, but to date none of the other Parties mentioned therein have designated their national authority or ministry for AIJ.

5. Parties are invited to refer to the annex to this note for information available on contact points for designated national authorities. Regular updating occurs on the UNFCCC Website under CC:INFO products, CC:INFO/AIJ (direct: http://www.unfccc.de/fccc/ccinfo/aijcont.htm). Any changes may be communicated to the secretariat.

III. ACTIVITIES

6. In its progress report on activities implemented jointly (FCCC/CP/1996/14 and Add.1), the secretariat exceptionally presented information even though it had not received the endorsement by all participating Parties, in order to receive feedback on the structure of the synthesis report rather than for analysis. For the preparation of this note, the secretariat contacted those Parties mentioned in the report in order to confirm the national authority, their contact information and the endorsement of reports submitted by other Parties as applicable.

7. The secretariat would like to rectify information on activities contained in the progress report. The reported activity involving Belize and the Netherlands has not been implemented. The reported project of the FACE foundation (Netherlands) in Malaysia exists but no agreement between the Netherlands and Malaysia has been reached which would allow it to be reported as an activity implemented jointly under the pilot phase. Finally, the reported activity between the Netherlands and the Russian Federation is to be deleted for the time being.

8. The following table shows the list of activities contained in the progress report for which the secretariat has received the required information in time to be contained in this

document. This list replaces that contained in table 1 of the addendum to the progress report (FCCC/CP/1996/14/Add.1).

List of activities implemented jointly

Type of project	Title	Participating Parties
Afforestation	"CARFIX: Sustainable Forest Management"	Costa Rica, USA
Afforestation	"RUSAFOR: Saratov Afforestation Project"	Russian Federation, USA
Energy efficiency	"Energy-efficiency improvement by Hungarian municipalitites and utilities"	Hungary, Netherlands
Energy efficiency	"High Efficiency Lighting"	Norway, Mexico
Forest restoration	"Biodiversifix: Forest Restoration"	Costa Rica, USA
Forest preservation	"ECOLAND: Esquinas National Park"	Costa Rica, USA
Forest reforestation	"Klinki Forestry Project"	Costa Rica, USA
Fuel switching	"RABA/IKARUS compressed natural gas engine bus project"	Hungary, Netherlands
Fugitive gas capture	"RUSAGAS: Fugitive Gas Capture Project"	Russian Federation, USA
Renewable energy	"Aeroenergía SA Wind Facility"	Costa Rica, USA
Renewable energy	"Doña Julia Hydroelectric Project"	Costa Rica, USA
Renewable energy	"Planta Eólicas S.A. Wind Facility"	Costa Rica, USA
Renewable energy	"Tierras Morenas Windfarm Project"	Costa Rica, USA

9. This update does not contain more detailed information on those activities. Once the initial uniform reporting format is adopted, the secretariat will prepare another update on activities implemented jointly following that format and containing detailed information.

10. As a consequence of the decision taken by the SBSTA at its second session that information on AIJ should be reported by designated national authorities for AIJ (FCCC/SBSTA/1996/8, para. 74) either jointly or separately (FCCC/SBSTA/1996/8, annex IV, paras. 3 and 5), a considerable amount of information available to the secretariat may not be compiled because either an endorsement or a report by one designated national authority, or sometimes the actual identification of the designated national authority itself, has not been received.

IV. OTHER MATTERS

11. At its third session, the SBSTA requested the secretariat "to integrate information on AIJ in the CC:INFO database and reporting system and to implement an information exchange on AIJ in the context of CC:INFO information exchange activities" (FCCC/SBSTA/1996/13, para. 38 (c)). The secretariat is awaiting the adoption of the uniform reporting format in order to integrate information on activities implemented jointly under the pilot phase into the CC:INFO products, notably CC:INFO/WEB and CC:INFO database and report.

12. The secretariat maintains information pages on AIJ at the UNFCCC Website (http://www.unfccc.de) which are reproduced on the UNFCCC CD-Rom. These pages contain background information on the decision-making process on activities implemented jointly, a list of relevant official documents, information available on contact points for designated national authorities, and a list of links to pages produced by national programmes on AIJ.

V. PROPOSED ACTION

13. Parties are invited to communicate any changes to the contact information for designated national authorities contained in the annex to this document. The changes will be incorporated in regular updates.

Annex

NATIONAL CONTACT INFORMATION

Below are listed the contact points for entities authorized to accept, approve or endorse activities implemented jointly and to report on them to the Conference of the Parties. A number of national focal points to the UNFCCC that are also the designated authority authorized to accept, approve or endorse activities implemented jointly and to report on them to the Conference of the Parties have been identified by Parties. Information on these focal points will be provided in "*Who is Who in the UNFCCC Process*" which is to be issued by the secretariat this year, and on the secretariat World Wide Web site (http://www.unfccc.de).

Australia:

Australia's National Program on AIJ
Australian AIJ
c/o Mr Paul Tighe
Assistant Secretary
International Competitiveness Branch
Department of Foreign Affairs and Trade
Parkes ACT 2600, Australia

Canada:

Canadian Joint Implementation Initiative(CJII)
Mrs. Anne Boucher
Natural Resources Canada
CJII office, 19th floor
580 Booth St.
Ottawa, Ontario, K1A 0E4, Canada
Tel: (613) 996-2921
Fax: (613) 947-6799
E-mail: CJII@es.nrcan.gc.ca (internet).

Costa Rica:

Oficina Costarricense de Implementación Conjunta (OCIC)
Costa Rican Office for Joint Implementation
Mr. Franz Tattenbach
(National Coordinator)
Mr. Adalberto Gorbitz
(General Manager)
CINDE Building
La Uruca
San José, Costa Rica
Tel: (506) 220-0036
Fax: (506) 220-1238
E-mail: crocic@sol.racsa.co.cr

Czech Republic:

Ministry of the Environment
Director of Foreign Relations
Mrs. Alexandra Orlíková
Vrsovická 65
Prague 10, 100 10, Czech Republic

Germany:

Joint Implementation Coordination Office
The Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
Joint Implementation Coordination Office
Postfach 120629
53048 Bonn, Germany
Tel.: (49-228) 305-2358
Fax.: (49-228) 305-3336
E-mail: g16-2004@wp-gate.bmu.de

Greece:

Ministry for the Environment,
Physical Planning and Public Works
Department of International Relations and E. U. Affairs
17, Amaliados Street
115-23 Athens, Greece
Tel.: (30-1) 6411717 or (30-1)6435740
Fax: (30-1) 6434470

Hungary:

Ministry for the Environment and Regional Policy
Department of Environmental Strategy
Fõ utca 2250
H-1011 Budapest, Hungary
Tel.: (36-1) 457-3300
Fax: (36-1) 201-4133

Honduras:

Ministry for the Environment,
Secretaría de Estado en el Despacho del Ambiente (SEDA)
Apdo. 4710
Tegucigalpa, M.D. C., Honduras
Tel.: (504) 37-5664 or 37-5667 or 38-5308 or 38-4662 or 38-4685
Fax: (504) 37-5726

Ireland:

Department of Environment,
Mr. Donal Enright
Custom House
Dublin 2, Ireland
Tel.: (35-31)-6793377, ext. 2550
Fax: (35-31)-8742423

Japan:

Inter-Ministerial/Agency Coordination Committee for AIJ (IMACC)
Secretariat
Yuichi Kitamura
2-2-1 Kasumigaseki
Chiyoda-ku
Tokyo 100, Japan
Tel.: (81-3)3581-3882
Fax: (81-3)3592-0364

Mexico:

Instituto Nacional de Ecología (INE-SEDESOL)
National Institute of Ecology
Rio Elba N° 20, piso 14
06500 Mexico D.F., Mexico
Tel.: (52-5)553-9969/-9601
Fax: (52-5)553-9753

Netherlands:

The Netherlands' Pilot Phase Program on Joint Implementation
Mr. Henk Merkus
Ministry of Housing, Spatial Planning and Environment
Directorate General for Environmental Protection
Directorate Air and Energy IPC/640
Climate Change Department
P.O. Box 30945.
2500 GX The Hague, Netherlands
Tel.: (31-70) 339-4440
Fax: (31-70) 339-1310
E-mail:merkus@DLE.DGM.minvrom.nl

Norway:

National Pilot Phase Programme
Ministry of Foreign Affairs
Department of Natural Resources and Environmental Affairs
Amb. Arne B. Hønningstad
P.O. Box 8114
7. Juni-Plassen
N-0032 Oslo Dep, Norway
Tel.: (47-2234) 3600
Fax: (47-2234) 2782

Poland:

Ministry of Environmental Protection, Natural Resources and Forestry
ul. Wawelska 52/54
PL-00-922 Warszawa, Poland
Tel.: (4822) 251133
Fax: (4822) 253972

United States of America:

United States Initiative on Joint Implementation (USIJI)
PO-63
1000 Independence Avenue SW
Washington DC 20585, USA
Tel: (1-202) 426-1628
Fax: (1-202) 426-1540
Hotline: (1-202) 426-0072
World Wide Web: http://www.ji.org.

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ACTIVITIES IMPLEMENTED JOINTLY UNDER THE PILOT PHASE

Update

Note by the secretariat

Corrigendum

Front page, corner notation indicating provisional agenda item

For Item 4 of the provisional agenda read Item 6 of the provisional agenda

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